

RUTGERS OPEN ACCESS POLICY IMPLEMENTATION PLAN

FINAL REPORT

to the Senior Vice President for Academic Affairs
Rutgers, The State University of New Jersey

Laura Bowering Mullen and Jane Otto
Co-chairs, Rutgers Open Access Policy Implementation Working Group

A subcommittee of the
Rutgers University Libraries Advisory Committee (RULAC)

September 1, 2015

Executive Summary

This final report will detail the background and current status of the Rutgers Open Access Policy implementation, including information on the development of SOAR (Scholarly Open Access at Rutgers), the web portal developed for university-wide implementation. All information is available from the SOAR website at soar.rutgers.edu, and consulting is available from SOAR faculty and staff in the Rutgers University Libraries (RUL). RUL is the responsible office for implementation of the Open Access Policy university-wide. The policy establishes Rutgers as an institution that will make the scholarship of its faculty, doctoral students and postdoctoral scholars widely available on the internet to a worldwide audience, to the extent possible.

The Rutgers Open Access Policy originated in a charge to the Senate's Research, and Graduate and Professional Education Committee (RGPEC) in fall 2011, and after outreach and education on all campuses, the Rutgers Open Access Policy Resolution was passed by a nearly unanimous vote of the Rutgers University Senate on October 19, 2012. The resolution was signed off by President Barchi on February 19, 2013, and was subsequently added to the Rutgers University Policy Library in October, 2014. The Executive Vice President for Academic Affairs (EVPAA), Richard Edwards referred the work of developing an implementation plan to Ken Breslauer (then Interim Vice President for Research and Economic Development) and Marianne Gaunt (then Vice President for Information Services and University Librarian), who then assigned the work to an existing university committee, the Rutgers University Libraries Advisory Committee (RULAC). The authors of this report, Mullen and Otto, co-chaired the subcommittee of RULAC, the Rutgers Open Access Policy Implementation Working Group (hereafter, the Working Group), working with the Vice President and University Librarian, Marianne Gaunt to oversee the work of implementing the policy through the dedicated work of library faculty and staff in RUL, and using the Rutgers institutional repository, RUcore. An established timeline called for the policy to go into effect on Sept. 1, and this report reflects the meeting of that goal.

Aspects of the initiative included in the report are: background, high impact aspects of an OA policy for Rutgers, timeline and administrative governance, legal issues, communication plan and outreach, deposit of scholarly works in SOAR, waiver requests (publisher waivers and other opt-outs), operational issues, technical aspects, mechanisms to facilitate implementation, and facilitation of the reporting and tracking of Rutgers scholarly output with SOAR. The Rutgers Open Access Policy is effective Sept. 1, 2015 as dictated by the initiative's established timeline. An earlier interim version of this report was delivered to former Rutgers EVPAA Richard Edwards in March, 2015, along with the draft of a letter about the policy that was subsequently sent to all deans at Rutgers.

Selected recommendations for continued development of the open access policy implementation and SOAR are listed below, and are included in italics throughout the report.

Recommendations

It is recommended that Rutgers, for each of the areas below:

High Impact Aspects of the OA Policy for Rutgers University

- *place priority on implementing the Rutgers Open Access Policy for doctoral students and postdoctoral scholars, since this is an aspect of distinction for Rutgers as the first university in the world to include graduate students in its university-wide policy*

Timeline and Administrative Governance for Implementation of the Rutgers Open Access Policy

- *form a new permanent Rutgers University Open Access Policy Advisory Board to advocate and advise on strategic initiatives enabled by a new OA policy environment at Rutgers, to advise on communications and engagement with the Rutgers, CIC, and larger research university communities on open access, and to oversee the continuing development of SOAR*
- *ensure that those responsible for the implementation, over the next three years, continue to monitor deposit rate and develop strategies for greater compliance with the policy, using assessment and benchmarking*

Legal Issues

- *continue the implementation of its Open Access Policy in accordance with the principles set out by open access legal experts at Harvard, University of California, Duke, MIT, and other universities implementing Harvard-style open access policies*
- *include a written affirmation of the Policy in the click-through license agreement at the point of deposit*

Communication Plan and Outreach

- *continue to develop communication plans in order to ensure maximum participation by faculty and graduate students (doctoral students) and postdoctoral scholars in making their scholarship open access via SOAR*
- *send formal notification, through the Office of the Senior Vice President for Academic Affairs to all faculty, doctoral students, and postdoctoral scholars that the Rutgers Open Access policy is now in effect*
- *send formal notification, through the Libraries to all chairs, offering presentations to their departments and suggesting models for implementation.*
- *identify within each school or department at least one faculty member to represent and model open access and the policy, and answer questions about them, to build a network of expertise across the university*

- *increase visibility of RUL resources and expertise on other Rutgers webpages, including those of the Office of Research and Economic Development*
- *continue to develop programs to educate the Rutgers community in the broader issues of open access and scholarly communication*

Depositing Scholarly Works in SOAR

- *send (at least) annual updates from SOAR to each participating Rutgers scholar of usage statistics on each article deposited*
- *hire a staff member to meet an already demonstrated increased demand for SOAR services*
- *monitor staffing needs in consultation with the Libraries and the Office of Research and Economic Development, to ensure sufficient staffing to support timely faculty and grad student deposits and repository infrastructure and development*

Operational Issues

- *broaden discussions about the establishment of an open access fund to assist Rutgers scholars wishing to publish in reputable open access journals which impose a reasonable fee not paid by grant funding (Note that the Rutgers Open Access Policy does not recommend or require any author to change their publication practices.)*

Technical Aspects; SOAR as a Service of RUcore

- *ensure infrastructure and resources of RUcore, the Rutgers institutional repository are sufficient to support increased deposits of research output, and foster further development of the repository*
- *continue to assess products and tools that can enhance reporting out of article level metrics such as downloads (numbers and geographic origin)*
- *continue to investigate all tools and products, such as Symplectic Elements, ORCID (and others) that facilitate and automate aspects of implementation of the open access policy and associated research services*

Facilitating the Reporting and Tracking of Rutgers Scholarly Output with SOAR

- *include on the SOAR homepage a visualization of collective downloads of all Rutgers scholarship*
- *charge the Advisory Board to review the policy after three years (Sept., 2018) and present a report to the University Senate.*

Introduction

Rutgers, The State University of New Jersey, needs to ensure that its scholarly and research output reaches the widest possible readership and has the highest possible impact. The faculty and graduate students of Rutgers seek visibility and impact for their scholarship. Open access practice is defined thus: “Open access (OA) means unrestricted online access to peer-reviewed scholarly research” (http://en.wikipedia.org/wiki/Open_access). This practice allows for this worldwide dissemination of Rutgers scholarship. By creating the widest possible access to scholarship, the university will facilitate Rutgers’ strategic goals of greater international impact and collaboration, and further the alignment of Rutgers with its peer and aspirant institutions. Other universities (such as Harvard and the University of California) have had success in passing and implementing the same type of open access policies. An institutional open access policy also follows on, and responds to, a growing number of U.S. and international funder mandates. An open access policy’s ability to facilitate the worldwide dissemination of Rutgers scholarship is made possible by the development of the internet and of robust institutional repositories such as Rutgers’ RUcore. RUcore has been developed by the Rutgers University Libraries (RUL) and has evolved into a trusted and respected university resource.

On the national scene, Rutgers has registered its policy in the Registry of Open Access Repositories Mandatory Archiving Policies (ROARMAP, <http://roarmap.eprints.org>) and become a full member of COAPI, the Coalition of Open Access Policy Institutions (<http://www.sparc.arl.org/COAPI>). COAPI members share best practices and information on open access policymaking as well as the implementation of those policies in order to effect maximum uptake by the creators of the research literature. Harvard, in particular, has been a model for universities working on open access policies, and many other universities have adopted open access policies in recent years. The Rutgers implementation has benefited from consultation with representatives of other universities (such as Harvard) that are doing similar work on open access. It is hoped that Rutgers will implement its open access policy in a way that will prove innovative and highly effective at disseminating Rutgers scholarship. At the time that the Rutgers policy entered the Rutgers University Policy Library in October, 2014, Rutgers was the only university policy inclusive of graduate students (doctoral students and postdoctoral scholars) in the crafting of its formal policy. Since then, other universities are finding ways to include graduate students in their policies. Rutgers remains the *first* university in the world to have a university-wide policy that includes these scholars. This signifies the Rutgers focus on extending open access practices, as well as educational outreach to early career researchers. This emphasis on graduate students is a very important part of the open access landscape and policy implementation at Rutgers, and will put Rutgers on the map in this area. Discussions continue on best ways to integrate doctoral students and postdocs into the open access practices of the university.

Background to the Adoption of the Rutgers Open Access Policy

The Rutgers Open Access Policy had its origins in a charge to the Rutgers University Research, and Graduate and Professional Education Committee (RGPEC) of the Rutgers University Senate in the fall of 2011, and was eventually codified into official University policy with its entry into the Rutgers University Policy Library in October, 2014. Following the acceptance of the charge by RGPEC, the Open Access Subcommittee of the Rutgers University Senate was formed for purposes of discussion, development and presentation of the policy initiative to major faculty, governance, and administrative bodies throughout the University. This group provided information and outreach in New Brunswick, Camden, and Newark. On October 19, 2012, the Open Access Policy Resolution¹ was presented to the full Senate, passing almost unanimously. University President Robert Barchi signed off on the resolution on Feb. 19, 2013. The resolution recommended and required the creation of a new team to devise a timeline for, and to oversee, the university-wide implementation of the policy. Executive Vice President for Academic Affairs (EVPAA) Richard Edwards charged the Rutgers University Libraries (RUL), via the Library Advisory Committee (RULAC) to create this new team in order to devise an implementation plan. The resulting committee, the Rutgers Open Access Policy Implementation Working Group, was made up of volunteer members, most of whom were also members of the RULAC. Two graduate students were added in order to have representation of the early career scholar's perspective. Membership of this committee (as well as that of the original Senate committee) is represented on the Open Access Policy Fact Sheet, a widely disseminated source of at-a-glance information about the policy. (<http://www.libraries.rutgers.edu/RutgersOAFactsheet.pdf>).

Mullen and Otto, the authors of this report chaired the Working Group and led the earlier Senate subcommittee. Throughout the process of policy formation and subsequent implementation, consultation with the Rutgers Office of General Counsel was ongoing. The Rutgers Open Access Policy, as codified in the Rutgers University Policy Library, sets the responsible office for implementation of the policy as the Rutgers University Libraries. All other pertinent information about the creation and background of the Rutgers Open Access Policy may be found in the Senate Report of October, 2012.²

High Impact Aspects of the OA Policy for Rutgers University

The Rutgers Open Access policy's inclusion of graduate students (defined for purposes of the policy as doctoral students and postdoctoral scholars) puts a focus on early career researchers/scientists, and the "faculty of the future/scholars in training." Early in the development of the Senate resolution and subsequent policy, graduate students and deans enthusiastically supported and promoted this unique aspect of the policy initiative. At this point in time, Rutgers was the first university in the world, to have included graduate students in its open access policy. This has become a very compelling aspect of the initiative. There has been a national and international focus of late to involve early career scholars in the open access conversation as it is now considered that the movement of scholarship and data toward more open

access is inevitable. Rutgers will be a leader in this area, creating early conversations with graduate students while becoming a model for this group of scholars. However, the addition of graduate students will present both opportunities and unique challenges for implementation. Education and outreach on open access practices will be paramount, especially for this group. Having an open access policy that includes graduate students also allows for a unique focus on building out a robust research environment for graduate students and early career researchers/scholars. An open access policy at the center of a new research environment will allow conversations about new kinds of collaboration and scholarly communication that will resonate with early career scholars. Although the policy will be implemented for doctoral students and postdoctoral scholars, the official policy language puts a focus on educating Rutgers graduate students at all levels in the principles and practice of open access. It is recommended that Rutgers *place priority on implementing the Rutgers Open Access Policy for doctoral students and postdoctoral scholars, since this is an aspect of distinction for Rutgers as the first university in the world to include graduate students in its university-wide policy.*

Rutgers is also a leader in the CIC (Committee for Institutional Cooperation) in this area, as well as other aspects of scholarly communication work and repository development. Rutgers will continue to develop its leadership role in the CIC in terms of open access-related initiatives. Consortial initiatives that work well in an institutional open access policy environment include scholarly communication-related initiatives such as participation in SHARE (SHared Access Research Ecosystem)³ and membership in ORCID (Open Researcher and Contributor ID, orcid.org), the open researcher identification system in use at peer institutions.*

Often the locus of scholarly communication work is the university library, and Rutgers has a well-developed and trusted repository infrastructure with its RUcore (Rutgers University Community Repository). The implementation of the Rutgers Open Access Policy uses RUcore via a newly developed portal, SOAR (Scholarly Open Access at Rutgers, soar.rutgers.edu). RUL has also developed a suite of related research services that are of value to Rutgers scholarship and that support and build on this infrastructure (see http://www.libraries.rutgers.edu/services_researchers). The ability for authors to deposit their supplementary data alongside their research articles in the institutional repository is just one example of a service that adds immense innovation and value to the SOAR implementation.

The Rutgers Strategic Plan, with its bold vision, supports the added visibility and impact gained from making the scholarly publications of Rutgers widely available to taxpayers, readers, funders, donors, and other scholars. In order to accomplish the tripartite aspiration set forth in the strategic plan “to be broadly recognized among the nation’s leading public universities preeminent in research, excellent in teaching, and committed to community,” this open and free

* Jane Otto of the University Senate’s RGPEC, is chairing an RGPEC subcommittee charged to investigate and make recommendations with regard to an implementation of ORCID identifiers (i.e. issuing ORCID iDs) at Rutgers.

sharing of the products of Rutgers research and scholarly inquiry is a necessity and an opportunity.

Timeline and Administrative Governance for Implementation of the Rutgers Open Access Policy

From the time the Senate Resolution passed in October, 2012, all work on the implementation of the policy has been driven by an established timeline. This timeline, developed in consultation with the RUL administration and RULAC, called for the development of a new website for scholars' deposit into RUcore, the Rutgers institutional repository. Alongside the development of a new and compelling website, a usability study was conducted by the Libraries, many enhancements were made to the existing deposit module of RUcore, and more education and outreach about the policy commenced. The timeline called for this new portal and enhancements to be available for demonstrating to Rutgers scholars on Jan. 1, 2015. The Working Group recommended using a memorable name and suggested many features and enhancements that would appeal to faculty and graduate students. The new portal was named "SOAR (Scholarly Open Access at Rutgers)." SOAR had not been publicly advertised while in its year of development, and was opened for public view on Jan. 5, 2015. From Jan. 1-Sept 1, 2015, the timeline called for a period of outreach, education and marketing, culminating in a "Day 1" of Sept. 1, 2015 when the policy would go into effect.

The work of developing SOAR was accomplished within RUL in consultation with the faculty and graduate student members of the Rutgers Open Access Policy Implementation Working Group, the RUL administration, and included feedback from many other groups and individuals. Dedicated teams of experts were formed in RUL to carry out the development of SOAR. Outside consulting took place with COAPI (Coalition of Open Access Policy Institutions) representatives, and included site visits to Harvard and Princeton. Due to the dedicated work of faculty and staff of the Libraries, the timeline has been met thus far, and at this point, the Open Access Policy is in into effect via SOAR on schedule on Sept. 1, 2015. Details concerning announcements and outreach about the Sept. 1 date may be found under "Communication Plan and Outreach," below.

Following the day that the policy goes into effect, the official work of the Rutgers Open Access Policy Implementation Working Group will end. It is recommended that Rutgers *form a new permanent Rutgers University Open Access Policy Advisory Board to advocate and advise on strategic initiatives enabled by a new OA policy environment at Rutgers, to advise on communication, and engage with the Rutgers, CIC, and larger research university communities on open access, and to oversee the continuing development of SOAR.* This board will be formed in consultation with the Senior Vice President for Academic Affairs (SVPAA), the Vice President for Information Services and University Librarian (VP/UL), and the Senior Vice President for Research and Economic Development, or his designee. The Working Group has discussed the basic charge and membership of this group, which should include interested

members of previous committees (RGPEC subcommittee and the outgoing Working Group), as well as advisors having particular areas of OA expertise and interest. The permanent board will likely be composed of faculty, graduate students and administrators, and weighted on the faculty side. The current co-chairs of the Working Group would, upon request, suggest some names of individuals for consideration and nomination to this board for discussion and consideration by the three vice presidents, so that the advisory board can be in place by calendar year end. This permanent advisory board will make recommendations on administration and facilitation of the policy, including development of the SOAR website, analysis of staffing resources and assessment of any necessary resources needed by RUcore in these areas. This board will be responsible for the interpretation of the policy and for revising it as necessary. The established implementation timeline calls for a report back to the Senate at the three year period. This three-year assessment report will be presented by a representative of the advisory board first to the Senate's Research, and Graduate and Professional Education Committee (RGPEC), and then subsequently communicated to the full Senate. It is also recommended that a small subgroup of members from the Advisory Board may be needed for advising on decisions made about more granular aspects of continuing SOAR implementation and enhancement over time.

It is recommended that Rutgers *ensure that those responsible for the implementation, over the next three years, continue to monitor deposit rate and develop strategies for greater compliance with the policy, using assessment and benchmarking.* The University's objective should be, over time, to achieve the maximum possible participation of Rutgers scholars. RUL has already done some preliminary work in this area.

Legal Issues

The Rutgers Open Access Policy is a Harvard-style open access policy, which was vetted by the Rutgers Office of General Counsel prior to the 2012 Senate vote. This "Harvard model" open access policy, modeled after the policy developed by legal experts at Harvard, is also referred to as a "rights retention" or "permissions based" policy. It has more legal power than other kinds of policies and resolutions because it extends a license to the university for sharing the articles that predates a publisher contract, so the publisher's contract is subject to the prior license. As such, it creates a legal right to post articles and is therefore a powerful tool for open access⁴. "Articles" refers to authors' "accepted manuscripts," often finalized Word documents. The specific language comprising the Harvard model policy represents the accumulated experience of multiple institutions that have drafted and implemented open access policies and is embodied in the Rutgers University Open Access Policy residing in the University Policy Library⁵. This particular type of policy is considered state of the art and has been adopted by 80 institutions at the time of this writing. The guide to implementing this type of policy, written by noted open access experts Peter Suber and Stuart Shieber of Harvard has been endorsed by the Association of Research Libraries (ARL). The guide, describing all legal issues relating to this type of policy, may be found at: http://cyber.law.harvard.edu/hoap/Implementing_a_policy

This policy is distinguished by its focus on “green open access,” another term used for the practice of author “self-archiving” of scholarly work in the institutional repository. University scholars deposit final author versions (Accepted Manuscripts) of articles and other scholarship (authored without expectation of payment) at the time of acceptance for publication. This policy does not require change of publication habits, or publication in open access journals. This deposit is subject to opt-outs, embargoes and waivers where scholars require them. There is an established body of work on this type of policy, and consultation is available as necessary⁶.

It is recommended that Rutgers *continue the implementation of its Open Access Policy in accordance with the principles set out by open access legal experts at Harvard, University of California, Duke, MIT, and other universities implementing Harvard-style open access policies.* A recommended best practice is to *include a written affirmation of the Policy in the click-through license agreement at the point of deposit,* and this is a logical next step in the Rutgers policy implementation.

Finally, the Coalition of Open Access Policy Institutions (COAPI) is a major consulting body for this work, and Rutgers is a full member of COAPI.

Communication Plan and Outreach

It is essential, especially in a large open access policy implementation, that Rutgers *continue to develop communication plans in order to ensure maximum participation by faculty and graduate students (doctoral students) and postdoctoral scholars in making their scholarship open access via SOAR.*

A key part of any communication plan would be, at the outset, to provide formal notification to all stakeholders of the Open Access policy’s effective date of Sept. 1, 2015. This information has been included in all presentations to date, and was formally communicated to the dean of every school in March, 2015 (see Appendix). The Working Group’s expectation was that these notifications would be followed by an email announcement to all faculty, doctoral students, and postdoctoral scholars that would be sent by the Senior Vice President for Academic Affairs in early to mid-August, 2015. However, simultaneous leadership transitions within both RUL and the Office of the SVPAA have delayed this email announcement.

It is recommended that Rutgers *send formal notification, through the Office of the Senior Vice President for Academic Affairs to all faculty, doctoral students, and postdoctoral scholars that the Rutgers Open Access policy is now in effect.* The Working Group has drafted an email for review and distribution by the SVPAA, and hopes it can be sent forthwith. It is further recommended that the university *send formal notification, through the Libraries to all chairs, offering presentations to their departments and suggesting models for implementation.*

Finally, the Working Group chairs have received feedback from many quarters that members of the faculty, already overwhelmed by email, should in addition receive a printed postable flyer

providing information about SOAR and the open access policy. This would include obligations, benefits, and a quick guide to depositing their works. The Libraries are currently working on this and are poised to make it happen very quickly.

It is anticipated that during fall 2015 the topic of the Rutgers OA Policy will be covered in all available Rutgers outlets such as *Rutgers Faculty & Staff Bulletin* and *The Daily Targum* as well as via alerts by national open access news aggregators. News will be posted on the SOAR website, as well as on many Rutgers websites such as those of the Rutgers research offices, Rutgers University Libraries, and possibly the front page of the Rutgers website.

The Senate resolution stipulated that the Working Group would plan the creation of “a network of research support office staff to answer faculty and scholars’ questions on Open Access.” It was important to the Working Group that the policy implementation utilize a “three pronged approach” incorporating the new SOAR web presence, educational outreach, and network of scholars who could represent and model the OA policy. Therefore it is recommended that the RUL, with the assistance of departmental liaisons and early adopters, *identify within each school or department at least one faculty member to represent and model open access and the policy, and answer questions about them, to build a network of expertise across the university.*

Further, consultants and experts in open access policy, copyright and other areas of scholarly communication exist at present in RUL. RUL expertise is available by email, phone, or in person to assist any Rutgers scholar in making their work and its supplementary data open access to the extent possible. Contact information, as well as information on RUL’s suite of research services is available from the RUL home page, the research services/scholarly communication page (http://www.libraries.rutgers.edu/services_researchers), and from SOAR, via the “Contact Us” link. It is recommended that the University *increase visibility of RUL resources and expertise on other Rutgers webpages, including those of the Office of Research and Economic Development.*

In terms of ongoing communication of all information related to the Rutgers Open Access Policy, the main vehicle will be the SOAR (Scholarly Open Access at Rutgers, soar.rutgers.edu) website. The SOAR website, developed specifically for the purposes of implementation of the OA policy, has been publicly accessible and available for use since Jan. 1, 2015 as part of a “soft roll out” phase. This website provides one convenient portal and central clearinghouse for all activity and information related to open access and the Policy, including the “Deposit Your Work” button that facilitates submission of scholarly works. Services and consultation on features such as deposit of scholarly work, interpreting usage statistics, and “search and browse” of Rutgers scholarly work by school, department, or author (for example) are available. The SOAR website and workflows will continue developing, but as of Sept. 1, 2015, all systems are operating and are accepting Rutgers scholarly works.

The printable one page (double-sided) fact sheet available from the SOAR website will always be kept current (<http://www.libraries.rutgers.edu/RutgersOAFactsheet.pdf>). This important fact

sheet (intended for wide distribution) includes all the basics of open access and the policy, including a list of resources and information about various groups and individuals involved in the Rutgers Open Access Policy development and implementation since its inception. This is the major takeaway from many meetings and presentations.

Those working on SOAR will continue marketing and publicity efforts under the guidance of the Advisory Board, through the use of both traditional and social networking channels (newspaper and Twitter, for example). A major goal is continued visibility for SOAR within a broader environment of open access and scholarly communication, both within the University and outside of Rutgers.

There will be ongoing workshops and presentations given to schools and departments with customized (disciplinary-focused) materials made available. The scholarly communication expertise of library subject specialists that represent every discipline will be leveraged in presentations to Rutgers groups. This approach allows a very specific and necessary disciplinary focus for all presentations. The Libraries also commit to continuing to develop the education and outreach aspect of open access policy at Rutgers. The faculty and staff of RUL will be a primary resource for open access and other ongoing scholarly communication work. RUL possesses the necessary in-house expertise for this work and anticipates working with many Rutgers faculty and students on open access-related initiatives into the future.

A detailed “FAQ” has been developed, and may be easily accessed from the SOAR site (<http://soar.libraries.rutgers.edu/faq>). RUL commits to regularly updating its “Open Access Policy and SOAR” informational webpage (http://www.libraries.rutgers.edu/researchers/open_access), where all relevant materials are aggregated, and which is linked to other scholarly communication/research services available at Rutgers. These associated services include research data management, NIH compliance, citation management tools, and more. All materials on the policy will be linked to the websites of other relevant Rutgers offices, such as the Office of the Vice President for Research and Economic Development. There will be ongoing focus on connecting the open access policy work with the larger research landscape existing at Rutgers. Discussions about the policy will drive other conversations about research impact, funder requirements, researcher IDs, citation analysis, new alternative citation metrics, institutional reporting, and more.

Libraries faculty have participated in two new faculty orientations and resource expos, and are scheduled for several more. In fact, since the initial outreach phase in 2011, the co-chairs have delivered scores of presentations about open access and the policy to university and faculty groups. SOAR staff will continue to track all available events and opportunities such as new faculty orientations and resource expos, graduate school boot camps, etc., to ensure that these venues are included in open access policy outreach. The Libraries continue to coordinate publicity and reminders about the policy to faculty and graduate students through quarterly updates distributed through some of the aforementioned channels. In addition, the Libraries will

coordinate annual reminders and distribution of usage reports (SOAR download statistics demonstrating visibility and impact) to individual scholars. It will be necessary for the Libraries to continue to work with the Graduate School—New Brunswick, as well as other graduate schools, to provide information to program directors and administrative assistants, and to the graduate students themselves, via orientations, etc., to ensure all are aware of the policy and its benefits. It is further expected that the policy and SOAR will have a presence on the Office of Research and Economic Development website, as well as the University Human Resources “Gateway to New Faculty” page (<http://uhr.rutgers.edu/worklife-balance/working-rutgers/gateway-new-faculty>).

International Open Access Week, held in October of each year, allows further opportunity for programming and discussion. RUL’s Committee on Scholarly Communication has planned programming in the past for this commemorative week, and plans to continue this practice. In 2015, the programming will have a health sciences focus.

A small pilot of an Open Access Fellows (OAF) program, modeled on Harvard’s popular initiative, has been successfully carried out during the policy implementation phase. This type of program is something that will continue to be explored as will all scalable solutions that may assist with what appears one of the largest open access policy implementations to date. The OAF program is an example of an initiative where trained Rutgers graduate students make brief visits to faculty and other scholars to assist them with SOAR deposits (or retrospective deposits of papers published before the policy went into effect). The Working Group has been interested in any program or service which can ensure the optimum effectiveness and scalability of the Rutgers Open Access Policy and SOAR. It is recommended that all possible products and solutions be investigated in order to ensure the success of Rutgers open access efforts. Products that work in more automated ways are available and continue to be vetted. Universities with open access policies are using a variety of methods to facilitate large scale deposit in the repository. The Rutgers Open Access Policy Advisory Board will be charged to watch other university OA implementations (such as the University of California’s, for instance) to learn what methods might work best at Rutgers. All of these activities also serve to address the Senate resolution’s intent to “*to develop programs to educate the Rutgers community in the broader issues of open access and scholarly communication.*”

Depositing Scholarly Works in SOAR

The Rutgers Open Access Policy stipulates “each Scholar will provide, at no charge, an electronic copy of the author’s final version of each article ... to the designated representative of the Executive Vice President for Academic Affairs, in an appropriate format (such as PDF) as specified by the Executive Vice President for Academic Affairs.” The designated representative of the EVPAA (now the SVPA), for the purpose of accepting an electronic copy of the author's final version of the article, is RUL, as the Responsible Office for the Policy. Deposits are accepted via the SOAR site, in formats previously established, generally Word documents or

PDFs. Authors will submit their own final version (Word doc or PDF) of their article, at the time of acceptance for publication, to SOAR. This version is referred to (using NISO parlance) as the “Accepted Manuscript (AM),” and is distinguished from the proprietary publisher’s branded PDF. A majority of publishers allow deposit of the author’s Accepted Manuscript (AM) into SOAR, many without embargoes (delays). The publisher’s branded version is usually not available for deposit, but SOAR provides a link from the author’s deposited version back to the publisher’s Version of Record (VoR). Those having subscription access to the publisher’s version of the article (usually via their institutional affiliation) will be able to click through to access that subscription content. Other readers will be able to access the SOAR-deposited version. Probably 90 percent of all repository traffic originates from search engines such as Google, and discovery of repository resources through services such as Google Scholar does drive some reader traffic back to the publisher website, enhancing visibility of the publisher version as well.

In some cases, it is possible to deposit other versions of an article, such as Author’s Original (AO), sometimes known as the preprint (before peer review), or the publisher’s Version of Record (VoR). All deposits are mediated by SOAR staff (experts within RUL), permissions are researched, and articles then become publicly available to readers and researchers to the extent possible. The implementation team has worked to ensure that the practice of depositing works will be simple and easy for Rutgers scholars, and will not require that they do research on permissions before submitting each Accepted Manuscript (AM). When the article is accepted by the publisher (all final revisions have been made) following the peer review process, the article will be deposited in SOAR and publisher permissions will be researched by SOAR staff. Once deposited, the article is made available to readers around the world (on the internet) via Google. If any restrictions are needed on the content, such as temporary publisher embargo, the work will be made open access by SOAR as soon as is possible.

In addition, RUL is planning SOAR enhancements that would send regular usage statistics to depositors on author-specified schedules, as a way of demonstrating usage of repository scholarship, as well as a reminder and incentive to continue participation. The implementation plan recommends that Rutgers *send (at least) annual updates from SOAR to each participating Rutgers scholars of usage statistics on each article deposited.*

The goal of the implementation of the Rutgers Open Access Policy is to ensure wide participation by providing services and a website that truly are “simple and easy” to use. SOAR staff has the expertise necessary to ensure the delivery of a successful service now. However, it is recommended that the Libraries *hire a staff member to meet an already demonstrated increased demand for SOAR services.* It is further recommended that the Advisory Board *monitor staffing needs in consultation with the Libraries and the Office of Research and Economic Development, to ensure sufficient staffing to support timely faculty and grad student deposits and repository infrastructure and development.*

Waiver Requests (Publisher waivers and other individual opt-outs)

The Policy stipulates the “Executive Vice President for Academic Affairs (or designee) will grant a waiver for a particular article or delay access for a specified period of time (an “embargo”) upon express direction by a Scholar.” RUL, as the responsible office (functioning as the EVPAA’s designee) has developed a simple process for granting and archiving waivers (also known as “opt outs”). The policy stipulates that any scholar may waive the policy for any specific article and may opt out for that article. A simple form is available to record that opt out from the SOAR website. A second instance where a Rutgers scholar will need to be able to get a waiver of the policy at the point of need is for situations where a publisher demands a waiver as a condition of publication. This situation only applies to a handful of publishers, and at this time, those few publishers include Nature, AAAS, and PNAS. When an author needs this publisher waiver, it can be easily found on the SOAR website under “Waivers and Forms” and may simply be forwarded along to the publishers. The publisher waiver is now on RUL letterhead, coming out of RUL as the responsible office. There is no mediation by staff of waivers and opt outs, but authors may procure them as needed or desired. The policy stipulates deposit of all articles. The intent of the policy is for all articles to be deposited in SOAR at the time of acceptance for publication, and then made accessible as soon as possible on the internet. SOAR is crawled by Google and other search engines, facilitating Rutgers scholarship’s availability on the internet. If a publisher requires a waiver, and the Rutgers author procures one, the publication may still be deposited in SOAR and will be made open access when that becomes possible.

Under “Waivers and Forms” at soar.rutgers.edu, other important forms and templates may be found. Those include an optional courtesy letter so that a co-author can be notified of the deposit (not necessary, but recommended), and the CIC “author’s addendum” form for any scholar wanting to modify a publication agreement at the time of acceptance of an article (not commonly used). Authors may also visit “Waivers and Forms” for helpful email boilerplate messages for use when making a special request of a publisher (for example, to deposit the publishers Version of Record). In order to assist depositers in working with their publisher, more forms will be added as they are requested.

Operational Issues

The Working Group has established that the Rutgers Open Access Policy can be implemented by individual academic units (departments or schools), based on local needs. Various potential models for school or department-wide implementation have been developed by the Libraries and the Working Group, and are being shared with deans and chairs. Implementation plans will be based on established mechanisms such as self-deposit in SOAR by individual scholars, self-selected designee deposit (having a proxy deposit for a certain scholar), departmental administrator coordination and deposit, or any method that suits the department’s needs. There has been some outreach to various academic units during the implementation planning phase, with formal outreach to schools and departments having commenced in March, 2015. A letter to

all deans was drafted by the Working Group and shared with the EVPAA before it was sent to all deans. Some deans responded with requests for presentations to faculty groups or school/department leadership. The Working Group co-chairs prepared and presented materials to department chairs, faculty, and/or administrators, in coordination with RUL's disciplinary liaisons. It is understood (and expected) that departments will take some time to develop their plans for compliance based on available workflows and disciplinary culture.

Even though it is not required by the policy, many Rutgers scholars already choose to publish their work in scholarly open access journals. The Senate Resolution charged the Working Group with investigating the options for establishing author funds to facilitate open access journal publication, along the lines of Harvard's HOPE Fund (<http://osc.hul.harvard.edu/hope>) and COPE (<http://www.oacompat.org/compact>). Many universities have a fund (administered by the library, funded out of a research office, for instance), that may pay (according to established criteria) certain Article Processing Charges (APCs) or memberships for the university's scholars that wish to publish in open access journals but who don't have grant funding available for such fees. It is noted that the Rutgers Open Access Policy requires no scholar to change publication habits, and that the Policy is based on Rutgers authors continuing to publish in their journals of choice and depositing their Accepted Manuscript (AM) in SOAR. However, open access publishing is growing and it is expected that more Rutgers authors may want to publish in open access journals. For instance, many Rutgers authors publish in journals such as PLoS One, a popular "author pays" open access journal. A fund for those without available grant funding or other support is becoming more commonplace in research universities. It is recommended that Rutgers *broaden discussions about the establishment of an open access fund to assist Rutgers scholars wishing to publish in reputable open access journals which impose a reasonable fee not paid by grant funding (Note that the Rutgers Open Access Policy does not recommend or require any author to change their publication practices.)*

Technical Aspects; SOAR as a Service of RUcore

SOAR has been developed as a service of RUcore, the Rutgers Community Repository. RUcore's mission statement and all documents related to its services, collections, development and history may be found on the RUcore website (<https://rucore.libraries.rutgers.edu/>). RUcore utilizes the open source Fedora platform, which is customizable for Rutgers needs, and has been developed and maintained over time by the Rutgers University Libraries. RUcore has been operational at Rutgers since 2006, and includes gateways to other collections such as Rutgers Electronic Theses and Dissertations (ETDs) and much more. To accomplish the goal of the provision of open access to all of Rutgers scholarship (to the extent possible), the Senate resolution recommended that Rutgers *ensure infrastructure and resources of RUcore, the Rutgers institutional repository are sufficient to support increased deposits of research output, and foster further development of the repository*. RUcore already holds hundreds of Rutgers faculty deposits, migrating formats to ensure the permanent availability of the scholarly work

over time. RUcore is a robust and sophisticated repository, and an integral part of Rutgers research services and infrastructure. Rutgers University Libraries is a leader in this area, both within CIC, and nationally.

SOAR is a portal of RUcore, where users can now search for faculty and graduate student articles, find information about open access and the policy, as well as initiate article deposit. SOAR began its development during the fall of 2013, following the passage of the Rutgers Open Access Policy. RUL formed a dedicated team of developers, web designers, and programmers that worked from feedback that the co-chairs garnered from the Working Group to create a compelling website that is cutting edge in both design and functionality. Rutgers scholars will find features within SOAR that allow them not only to deposit their work but to share stories about the benefits of open access, create their own dynamic bibliography link of their publications, reach contacts for consultation, get information about other research services, and watch a video created to explain open access as well as attract more visibility to the site. The video was created by a Rutgers SC&I PhD student in consultation with the Working Group.

Early in the timeline, a multitude of specifications and enhancements were made to the existing RUcore faculty deposit module in order to accommodate expectations of the Working Group for simple and easy processes for Rutgers scholars. The University and RUL are committed to further development of SOAR and RUcore in accordance with best practices of open access policy implementation and institutional repository development.

Once the SOAR website was firmly established and outreach efforts well underway, a small ad hoc group of four was formed to hammer out the nuts and bolts of policy implementation. This group held several meetings between late 2014 and mid-2015 to discuss license language, the library of forms and waivers, and the SOAR FAQ. It included the Repository Collection Librarian and Copyright and Licensing Librarian as well as both co-chairs of the Working Group.

It is expected that the proposed permanent advisory board will look at the Open Access policy as the core of a broader scholarly communication environment that enables scholarly networking, facilitated /automated population of the repository, and grant tracking, in an interoperable environment that far exceeds the capacity of the current Faculty Survey. This would require discussion and analysis of a variety of products and services, primarily by the Libraries and ORED, both to be represented on the Board. Certain services or products may be recommended for purchase or subscription to help facilitate large scale deposit of Rutgers' collective scholarship, and the Libraries continue to watch the marketplace (and invite companies for demonstrations) in these areas as new tools emerge. An example of this type of product would be a tool that provides article level metrics for each SOAR deposit, useful for a scholar wanting to demonstrate research impact. It is recommended that the SOAR implementation *continue to assess products and tools that can enhance reporting out of article level metrics such as downloads (numbers and geographic origin).*

Implementers will continue to investigate automated methods for harvesting Rutgers scholarship where that is possible (from digital subject repositories such as PubMed Central or arXiv for instance). Other products, for example Digital Science's Symplectic Elements (in place now at the University of California) are available that crawl the web looking for Rutgers scholarship. Symplectic Elements works by discovering university scholarship and contacting authors with email reminders about depositing those papers into SOAR/RUcore. The use of ORCID IDs has been incorporated into SOAR author profiles due to the popularity of this open researcher identification system in universities. It is recommended that Rutgers *continue to investigate all tools and products, such as Symplectic Elements, ORCID (and others) that facilitate and automate aspects of implementation of open access and associated research services*. RUL can provide information on these and other systems.

The Advisory Board would also recommend any infusion of resources needed to ensure success of the policy implementation. Resources needed could include more RUL staffing for the repository. For instance, it might be possible that a dedicated programmer could be needed for SOAR and other research services (as is the model at other universities), or other resources may be required for managing a large scale policy implementation. At this point in the timeline, RUL is managing the implementation through reassignments rather than through additional staffing, but this is likely to change as deposits increase under the policy, and as SOAR grows and develops.

Mechanisms to Facilitate Implementation

Rutgers authors have been assured that all processes involved with deposit of their scholarship in SOAR will be simple and easy. This was a linchpin of the passage of the resolution. Faculty and other scholars desire a system that will not place an undue burden on their daily life. This will be the major concern of the implementation. For deposited articles not yet available openly in SOAR (such as those under embargo), a system has been set up where a simple "request a copy" button is available to facilitate the sharing of a single article. Other features have been built into SOAR to increase its appeal, including usage statistics that demonstrate increased visibility and impact, and a "dynamic bibliography" link. This is a shareable link to the author's personal collection of articles in SOAR. The link can be placed on faculty websites, under email signatures, in CVs, or on sites like LinkedIn, so that a reader clicking the link is taken to a list of all SOAR publications by that author, making the author's scholarship accessible widely to readers. (For example, see http://soar.libraries.rutgers.edu/bib/Jane_Otto/.)

The four strategies for building SOAR participation are: individual SOAR deposits (by the author or a designee), use of tools that automate communication and processes, the use of outreach methods (such as developing an Open Access Fellows program), and harvesting of publications where possible from other web sources. All methods will be analyzed to determine the best mix of services that will serve faculty and scholars as they participate in the Open

Access Policy and SOAR. The goal of these tools, and of all outreach and education, is wide and enthusiastic participation of Rutgers faculty, doctoral students and postdoctoral scholars.

Facilitating the Reporting and Tracking of Rutgers Scholarly Output with SOAR

One of the many advantages of an open access policy is the benefit it provides to departments and schools, by providing more visibility for faculty and grad student authors, and increasing exposure of scholarly output within and across academic units, locally and internationally, not only to fellow researchers and the public, but to prospective students, faculty, and donors. Already SOAR can show deposits by academic unit on its search pages. SOAR staff are now developing a mechanism to report out deposits by specified schools and departments. A system like this could also provide some benchmarking for reporting increasing numbers of University publications in accordance with the Rutgers strategic plan. It is recommended that the implementation *include on the SOAR homepage a visualization of collective downloads of all Rutgers scholarship*. This is an important feature in showing the impact of Rutgers scholarship, and many universities include a dynamic mapping feature for this purpose; for example see <http://scholarworks.uvm.edu/>.

In terms of personal benefit to a Rutgers author, the implementation will work to establish ways that faculty and students may use SOAR for their own purposes of reporting impact via usage statistics wherever appropriate. Usage statistics provide information on number of downloads by country, useful for reporting article and author impact. SOAR facilitates authors' placement of DOI (Digital Object Identifier) links in other scholarly networking services such as Mendeley, ResearchGate, Academia.edu and others. This online sharing allows successful and wide dissemination of Rutgers scholarship, thereby working to increase both authors' and the university's research impact.

In accordance with the recommendations included in the original Senate report, the implementation would *charge the Advisory Board to review the policy after three years (Sept., 2018) and present a report to the University Senate*. The permanent advisory board will likely make recommendations on changes to the Rutgers Faculty Survey, and to the Forms 1-A (and 1-L) to accommodate information on SOAR deposits. Inclusion of SOAR DOIs on these forms would also facilitate access (both internally and externally) to reviewers throughout the promotion and tenure processes.

Following the 2018 Senate-recommended follow up assessment, the university may want to investigate other methods to ensure full participation, thereby increasing compliance over time. It may be beneficial to establish a Rutgers Office of Scholarly Communication, similar to those that exist at other universities.

Other planned benefits of the open access environment include scholars' collaboration with other Rutgers research services such as research data management services, and enabling integration with researcher identification systems such as ORCID. SOAR can be envisioned as the beginning (or the core) of a robust research environment focused on collaboration and wide sharing of research results. RUL will be a place for discussion with other university offices in the building of a new research and scholarly communication environment for all Rutgers faculty and graduate students.

Conclusion

An open access policy will increase the visibility, readership and impact of Rutgers scholarship and ensure that it is widely and permanently available in the University's digital repository to readers and researchers worldwide. The policy's unique inclusion of doctoral students and postdocs has demonstrated Rutgers' commitment to open access for all of its scholars. In joining other major research universities in promoting open and free access to peer reviewed literature, Rutgers takes a leadership role in New Jersey and in the CIC in reshaping scholarly communication. Toward this end, the scholars of Rutgers, The State University of New Jersey, have developed an Open Access Policy that now resides in the Rutgers University Policy Library. Implementation continues apace under the auspices of the Rutgers University Libraries. The intention of the work is to develop and implement an innovative model for open access policy implementation at a premier research university.

Notes:

1. For a copy of the Senate resolution passed in October, 2012, please visit:
http://www.libraries.rutgers.edu/sites/default/files/scholarly_communication/Rutgers_OA_Resolution_2012-11.pdf

2. For background to the policy up to its passage in the Senate, see the Senate Report (Oct.2012) at:
http://www.libraries.rutgers.edu/sites/default/files/scholarly_communication/OpenAccessReport2012-10.pdf

3. SHARE (SHared Access Research Ecosystem) accessed at: <http://www.arl.org/focus-areas/shared-access-research-ecosystem-share#.VQEXr-H1xkl>

(Note: SHARE is an initiative that makes institutional repositories interoperable, leveraging a collective scholarship for the maximum benefit of the wider community and of society at large.)

4. For one description of the legal aspects of the Harvard-style open access policy, see “Implementing Open Access Policies Using Institutional Repositories” (Ellen Finnie Duranceau and Sue Kriegman), accessed at:
http://www.ala.org/alcts/sites/ala.org.alcts/files/content/resources/papers/ir_ch05_.pdf

5. The annotated Harvard policy language can be found in “A Model Open-Access Policy” (Stuart M. Shieber), accessed at: https://osc.hul.harvard.edu/sites/default/files/model-policy-annotated_01_2013.pdf,

6. See, for example, Peter Suber’s “Open Access” (MIT Press):
<http://mitpress.mit.edu/sites/default/files/titles/content/openaccess/cover.html>

and

“Good practices for university open-access policies guide” (Harvard Open Access Project):
http://cyber.law.harvard.edu/hoap/Good_practices_for_university_open-access_policies

Appendix I

Members of the Rutgers Open Access Policy Implementation Working Group:

Cati Coe, Associate Professor, Faculty of Arts & Sciences Camden, Department of Sociology, Anthropology, and Criminal Justice

Daniel Fishman, Professor, Graduate School of Applied and Professional Psychology

Susan L. Golbeck, Associate Professor, Graduate School of Education

Marie C. Haverfield, Ph.D., Graduate student representative, School of Communication and Information

Laura Bowering Mullen, Co-Chair, Librarian, Rutgers University Libraries

Andrew Norris, Distinguished Professor, Mechanical and Aerospace Engineering

Jane Otto, Co-Chair, Librarian, Rutgers University Libraries

John Ottomanelli, Alumnus representative, University Senate

Members of the original Open Access Subcommittee of the Rutgers University Senate:

Jane Otto (Chair), Senator; Media & Music Metadata Librarian, Rutgers University Libraries

Robert M. Goodman, Senator; Executive Dean of Agriculture and Natural Resources; Executive Dean, SEBS; Executive Director, New Jersey Agricultural Experiment Station

Victor Greenhut, Senator; Distinguished Professor, Materials Science and Engineering

Jerome J. Kukor, Senator; Professor and Dean, Graduate School – New Brunswick

Laura Bowering Mullen, Chair, RUL Committee on Scholarly Communication; Behavioral Sciences Librarian; Open Access Specialist

John Ottomanelli, Senator; Ph.D. candidate; alumnus representative to the Senate

APPENDIX II

The Rutgers Open Access Policy



RUTGERS POLICY

Section: 50.3.17

Section Title: Legal Matters

Policy Name: Open Access Policy

Formerly Book: n/a

Approval Authority: President

Responsible Executive: Executive Vice President for Academic Affairs

Responsible Office: Rutgers University Libraries

Originally Issued: 10/29/2014

Revisions:

Errors or Changes: Contact: Office of the Vice President for Information Services and University Librarian 848-932-7505

1. **Policy Statement**

Rutgers, The State University of New Jersey, is one of the nation's leading research universities and the State's preeminent comprehensive public institution of higher education. Rutgers is dedicated to conducting research that breaks new ground, and to turning knowledge into solutions for local, national, and global communities.

Sharing scholarship is key to advancing knowledge. In support of greater openness, Rutgers scholars seek to collaborate and share their work as widely as possible. An open access policy will increase the visibility, readership and impact of Rutgers scholarship and ensure that it is widely and permanently available in the University's digital repository to readers and researchers worldwide.

2. **Reason for Policy**

To promote open and free access to peer-reviewed literature.

3. **Who Should Read This Policy**

All members of the faculty, as well as Rutgers graduate and post-doctoral students, while they are employed by, or enrolled at, Rutgers.

4. **Related Documents**

Section 50.3.7 Copyright Policy

Section 50.3.15 Legacy UMDNJ policies associated with Intellectual Property: Copyrights & Royalties.

Section 50.3.16 Legacy UMDNJ policies associated with Intellectual Property: Educational Use of Copyrighted Works

All regulations and procedures are subject to amendment.

Page 1 of 2

5. **Contacts**
Office of the Vice President for Information Services and University Librarian, 848-932-7505

6. **The Policy**

50.3.17 OPEN ACCESS POLICY

This Policy shall apply to all members of the faculty, as well as Rutgers graduate and post-doctoral students, while they are employed by, or enrolled at, Rutgers (hereinafter "Scholar"). Each Scholar grants to Rutgers University a nonexclusive, irrevocable, royalty-free worldwide license to exercise any and all rights under copyright relating to each of his or her scholarly articles, as defined below, in any medium, provided that the articles are not sold for a profit, solely for the purpose of providing and maintaining public access to them. The term "scholarly articles" generally refers to peer-reviewed journal articles or conference proceedings created without expectation of payment. It does not include books, commissioned articles, artworks, popular writings, fiction, poetry or pedagogical materials such as lecture notes and videos, case studies and the like.

This Policy does not alter copyright ownership rights determined in accordance with law or with Rutgers University or Legacy UMDNJ copyright policies. The Policy applies to all scholarly articles authored or co-authored while the person is affiliated with Rutgers, except for any articles completed before the adoption of this Policy, and any articles for which the scholar entered into an incompatible licensing or assignment agreement before the adoption of this policy. Affiliated with Rutgers means employed by, or enrolled at, Rutgers.

The Executive Vice President for Academic Affairs (or designee) will grant a waiver for a particular article or delay access for a specified period of time (an "embargo") upon express direction by a Scholar.

The University also commits to educating students at the graduate level in the principles and practices of Open Access.

Each Scholar will provide, at no charge, an electronic copy of the author's final version of each article, no later than the date of its publication, to the designated representative of the Executive Vice President for Academic Affairs, in an appropriate format (such as PDF) as specified by the Executive Vice President for Academic Affairs. An author's final version is the version that follows formal peer review, sometimes called the "postprint," as distinguished from the publisher's branded PDF version.

APPENDIX III

The Rutgers University Senate's Open Access Policy Resolution

RESOLUTION

Open Access Policy

Rutgers University Senate

Whereas, Rutgers University advocates open scholarship for the purposes of study and dialogue; and

Whereas, the Research, and Graduate and Professional Education Committee of the Rutgers University Senate had been charged by the Senate Executive Committee to: “Examine the possibility of a Rutgers-specific, centrally-driven publication repository for published papers and books. Provide data about similar services at peer and aspirant universities. Respond to Senate Executive Committee by October 2012”; and

Whereas, the Research, and Graduate and Professional Education Committee of the Rutgers University Senate, as well as the University Senate itself, have considered the issue of open access, and have adopted a report on this matter;

Therefore, Be It Resolved, that, in keeping with the report so adopted, the Rutgers University Senate recommends that Rutgers’ administration:

1. adopt the Rutgers Open Access Policy found in Appendix I
2. charge the Executive Vice President for Academic Affairs with establishing an Open Access Policy Implementation Working Group, representing all campuses and constituencies, to develop an implementation plan to
 - a. address administrative governance
 - b. establish means to ensure compliance
 - c. ensure infrastructure and resources of RUcore, the Rutgers institutional repository, are sufficient to support increased deposits of research output
 - d. foster further development of the repository
 - e. create a network of research support office staff to answer faculty and scholars’ questions on Open Access
 - f. investigate options for establishing author funds to facilitate Open Access journal publication [for example, HOPE Fund (<http://osc.hul.harvard.edu/hope>) and COPE (<http://www.oacompact.org/compact>)]
 - g. register the policy in the Registry of Open Access Repositories Mandatory Archiving Policies (ROARMAP) <http://roarmap.eprints.org>
 - h. formally join institutional peers in the Open Access movement through affiliation with COAPI (Coalition of Open Access Policy Institutions), BOAI (Budapest Open Access Initiative), and others
 - i. develop programs to educate the Rutgers community in the broader issues of open access and scholarly communication

APPENDIX IV

Email to Deans Reviewed by EVPAA Richard Edwards, March 20, 2015 Emailed to all Deans, March 31, 2015

Dear [dean]:

As you may know, the Rutgers University Senate passed an Open Access policy resolution by a near unanimous vote in October, 2012; the policy goes into effect university-wide September 1, 2015 (<http://policies.rutgers.edu/50317-currentpdf>). The Open Access policy requires that Rutgers authors deposit legal copies of scholarly articles into the Rutgers institutional repository at the time of each article's final acceptance for publication. The policy applies to faculty, doctoral students, and postdocs.

We have been working to make article deposit simple and easy for authors. Work has been ongoing to develop an innovative portal (SOAR, Scholarly Open Access at Rutgers, <http://soar.rutgers.edu>) to facilitate implementation of the OA policy. Participation is at no cost to the authors, and makes scholarship freely accessible to readers and researchers worldwide on the Internet via Google. If needed, an opt-out is available for any given article.

Open Access through SOAR benefits your school by providing more visibility for faculty and grad student scholarship; it increases exposure of scholarly output within and across Rutgers academic units, not only to fellow researchers and the public, but to prospective students, faculty, and donors. SOAR can also facilitate departmental reporting.

Over the next few months, we are eager to ensure that all faculty and graduate students have the information they need about open access and the policy. If you would like us to speak at any meeting of chairs or faculty, please contact us; we would be happy to come and talk about any aspect of the policy, as well as present some possible options for implementation in your unit. Please visit the SOAR website for more information, including handouts and contact information: <http://soar.rutgers.edu>.

We look forward to hearing from you.

Best,

Laura Bowering Mullen and Jane Otto
Co-Chairs, Rutgers Open Access Policy Implementation Working Group
lbmullen@rci.rutgers.edu and jjotto@rutgers.edu

Cati Coe, Associate Professor, Department of Sociology, Anthropology, and Criminal Justice
Daniel Fishman, Professor, Graduate School of Applied and Professional Psychology
Susan L. Golbeck, Associate Professor, Graduate School of Education
Marie C. Haverfield, Ph.D., Graduate student representative, School of Communication and Information
Andrew Norris, Distinguished Professor, Mechanical and Aerospace Engineering
John Ottomanelli, Alumnus representative, University Senate